

JAN. 21. 2004 12:57PM

HOWREY] SIMON-WHITE

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DATE: January 21, 2004

TO: NAME: Examiner Debra F. Charles

COMPANY: United States Patent and Trademark Office

FAX NUMBER (703) 872-9306 PHONE NUMBER: (703) 305-4718

CITY: Alexandria, VA

FROM: NAME: Michael J. Stimson

DIRECT DIAL NUMBER: (202) 383-6906 USER ID: 2382

NUMBER OF PAGES, INCLUDING COVER: 13 CHARGE NUMBER: 00322.0007.NPUS00

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SUPPLEMENTAL MESSAGE:

Dear Examiner Charles:

This is a draft supplemental amendment that we propose to file in application number 09/536,258, as we discussed in our telephone conference on January 16. Kindly review this draft amendment, and I will call you to discuss whether it adequately addresses the rejection under section 101.

Sincerely,

Michael J. Stimson  
Reg. No. 45,429

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**DRAFT - NOT FOR ENTRY IN FILEWRAPPER****RECEIVED  
CENTRAL FAX CENTER****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE****JAN 21 2004****In re application of:***Gastineau et al.*

Appl. No. 09/536,258

Filed: March 27, 2000

For: Hedging Exchange Traded Mutual Funds  
or Other Portfolio Basket Products

Art Unit: 3628

Examiner: Charles

Atty. Docket: 00322.0007.NPUS00

**OFFICIAL****Supplemental Amendment Under 37 C.F.R. § 1.111**Commissioner for Patents  
Washington, D.C. 20231

Sir:

In response to the Office Action dated October 4, 2003, (PTO Prosecution File Wrapper Paper No. 5), and further to the Response timely filed on December 30, 2003, Applicants submit the following Amendment and Remarks.

It is not believed that extensions of time or fees for net addition of claims are required. However, if any extensions of time are necessary to prevent abandonment of this application, then such extensions of time are hereby petitioned under 37 C.F.R. § 1.136(a), and any fees required therefor (including fees for net addition of claims) are hereby authorized to be charged to our Deposit Account No. 08-3038 referencing docket number 00322.0007.NPUS00.